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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Stuart A. Fraser et al.
Application No. : 09/593,554
Filed : June 14, 2000
For : SYSTEMS AND METHODS FOR
ELECTRONIC TRADING THAT PROVIDE
INCENTIVES AND LINKED AUCTIONS
Group Art Unit : 2768

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November 1, 2001

Hon. Commissioner for Patents
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TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

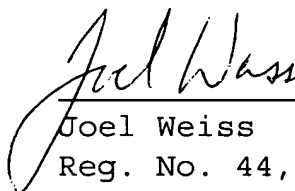
Sir:

Transmitted herewith is an Information Disclosure
Statement for the above-identified application. This
Statement is submitted:

- ☐ within three months of the application filing
date;
- ☒ more than three months from the application
filing date but before the mailing date of
the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

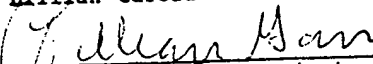


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Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants
hereby make the following documents of record in the above-
identified patent application:

UNITED STATES PATENTS

Nymeyer	U.S. Patent No. 3,581,072	(05/25/71)
Kalmus et al.	U.S. Patent No. 4,674,044	(06/16/87)
Fujisaki	U.S. Patent No. 4,789,928	(12/06/88)
Lupien et al.	U.S. Patent No. 5,101,353	(05/31/92)
Kosaka et al.	U.S. Patent No. 5,161,103	(11/03/92)
Guttermann et al.	U.S. Patent No. 5,297,031	(03/22/94)
Togher et al.	U.S. Patent No. 5,375,055	(12/20/94)
Brown	U.S. Patent No. 5,794,219	(08/11/98)
Fraser et al.	U.S. Patent No. 5,905,974	(05/18/99)
Garber	U.S. Patent No. 5,963,923	(10/05/99)
Brown	U.S. Patent No. 6,023,686	(02/08/00)
Aggarwal et al.	U.S. Patent No. 6,151,589	(11/21/00)

FOREIGN PATENTS

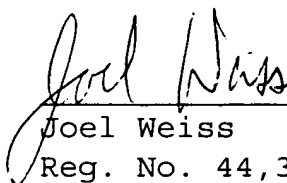
European Patent App. Publ. No. EP 0 987 644	(03/22/00)
PCT Patent App. Publ. No. WO 00/11589	(03/02/00)
PCT Patent App. Publ. No. WO 00/21013	(04/13/00)
PCT Patent App. Publ. No. WO 00/26745	(05/01/00)

Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith. Applicants respectfully requested that these documents be: (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application. Applicants further request that

a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

An early and favorable action is respectfully requested.

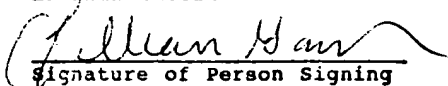
Respectfully submitted,



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